

EXHIBIT “D”

Ethan Leonard

From: Ethan Leonard
Sent: Monday, July 8, 2024 5:53 PM
To: richard.berry@finra.org
Cc: Neprocessingcenter; Shah, Nirav; Nadkarni, Sid; Cardenas, Virginia; Neal Brickman
Subject: Request Letter Andriesz v. BGC Case No: 22-02539
Attachments: Andriesz BGC FINRA Letter S 7 8 24.pdf

Dear Mr. Berry –

Good afternoon.

I hope that all is well with you and yours.

Please find attached hereto correspondence submitted on behalf of our client, Simon Andriesz, the Claimant in the above-referenced matter.

Same was submitted earlier this afternoon via the FINRA Portal as well.

Thank you for your time and attention in this regard.

Respectfully submitted,

Ethan Leonard

Ethan Leonard
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July 8, 2024

By Email and FINRA Portal

Richard W. Berry
EVP and Director of FINRA Dispute Resolution Services
Richard.berry@finra.org

Re: *Andriesz v. BGC Financial, LP, et al.*,
FINRA Case No: 22-02539

Dear Mr. Berry:

I hope that all is excellent with you and all of yours. We represent the Claimant, Simon D. Andriesz, in the above-referenced arbitration.

Early this month, we requested that the Parties be provided with an Explained Decision in connection with the Award in the above-referenced matter. As noted in that request, it was our recollection that we had previously requested the same, that counsel for the Respondents had not opposed, and that the Chair had agreed to provide the same at the start of the hearings. Last Friday, we received correspondence asserting that our request would not even be put to the arbitrators under Rules 12905/13905. However, we have not yet received any communication from FINRA that this matter has been “closed.” To the contrary, not only has the Award payment not been made, but FINRA has acknowledged outstanding monies due to our client. As such, it is respectfully submitted that the case is not, in fact, yet closed.

Based on the foregoing, we specifically request that our prior correspondence seeking an Explained Decision be transmitted to the Panel and that the Panel provide the Parties with an Explained Decision.

If you would like further clarification regarding this, or any other, matter, please do not hesitate to contact the undersigned.

Thank you for your time and consideration in this regard.

Respectfully submitted.

Neal Brickman

Neal Brickman, Esq.

cc: Leonie A. Feliciano (Via FINRA Portal and Email)
Nirav Shah, Esq. (Via FINRA Portal and Email)
Virginia J. Cardenas, Esq. (Via FINRA Portal and Email)
Sid Nadkarni, Esq. (Via FINRA Portal and Email)